

03/12/01

Please type a plus (+) sign in this box → ☒

PTO/SB/05 (4/98)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new non-provisional applications under 37 C.F.R. § 1.53(B))

Attorney Docket No. M61.12-0333

First Inventor or Application Identifier Chris Thrasher et al.

Title METHOD AND APPARATUS FOR GENERATING AND  
DISPLAYING N-BEST ALTERNATIVES IN A SPEECH  
RECOGNITION SYSTEM

Express Mail Label No. EL844342685US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

Address To:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \*Fee Transmittal Form e.g., PTO/SB17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Sheets **57**]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention)  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. § 113) [Total Sheets **7**]
4. Oath or Declaration [Total Sheets **3**]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§1.63(d)(2) and 1.33(b).

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY  
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT  
IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

5. ☐ Microfiche Computer Program (Appendix)
6. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(If applicable, all necessary)  
a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (Identical to computer copy)  
c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
9. ☐ English Translation Document
10. ☐ Information Disclosure Statement (IDS/PTO - FTO) ☐ Copies of IDS
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
13. ☐ \*Small Entity ☐ Statement filed in prior application  
Statement(s) Status still proper and desired  
(PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Request and Cert. Under 35 USC 122 (Non-Pub)
16. ☐ Other: \_\_\_\_\_

16. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment

☐ Continuation ☐ Divisional ☐ Continuation-in part (CIP)

of prior application No: \_\_\_\_\_

Prior application information.

Examiner \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

**FOR CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Joseph R. Kelly				
	WESTMAN CHAMPLIN & KELLY				
Address	Suite 1600 - International Centre				
	900 South Second Avenue				
City	Minneapolis	State	MN	Zip Code	55402-3319
Country	USA	Telephone	(612) 334-3222	Fax	(612) 334-3312

Name (Print/type) Joseph R. Kelly

Registration No. (Attorney/Agent)

34,847

Signature

Date

3/12/01

FEE TRANSMITTAL		Complete if Known																																																																																																																																									
		Application No.																																																																																																																																									
		Filing Date																																																																																																																																									
		First Named Inventor	Chris Thrasher																																																																																																																																								
		Title	METHOD AND APPARATUS FOR GENERATING AND DISPLAYING N-BEST ALTERNATIVES IN A SPEECH RECOGNITION SYSTEM																																																																																																																																								
		Group Art Unit																																																																																																																																									
		Examiner Name																																																																																																																																									
Total Amount of Payment \$ 1128		Atty. Docket Number	M61.12-0333																																																																																																																																								
METHOD OF PAYMENT (Check One)		FEE CALCULATION (Continued)																																																																																																																																									
1. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fee required under 37 C.F.R. § 1.16 and 1.17, including any petition fee, and credit any over payments to Deposit Account No. <u>23-1123</u> . Westman, Champlin & Kelly, P.A.  2. <input checked="" type="checkbox"/> Check Enclosed		3. <b>ADDITIONAL FEES</b>  <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee</th> <th>Fee</th> <th>Fee</th> <th>Fee</th> </tr> <tr> <th>Code</th> <th>(\$)</th> <th>Code</th> <th>(\$)</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td>Surcharge - Late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td>Surcharge - Late provisional Filing Fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td>For Filing a Request for Reexamination</td> <td></td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>390</td> <td>216</td> <td>195</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>890</td> <td>217</td> <td>445</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,390</td> <td>218</td> <td>695</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1,890</td> <td>280</td> <td>945</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>120</td> <td>310</td> <td>220</td> <td>155</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>270</td> <td>221</td> <td>135</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>148</td> <td>110</td> <td>248</td> <td>55</td> <td>Terminal Disclaimer Fee</td> <td></td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to Revive - unavoidable</td> <td></td> </tr> <tr> <td>141</td> <td>1,240</td> <td>241</td> <td>620</td> <td>Petition to Revive - unintentional</td> <td></td> </tr> <tr> <td>142</td> <td>1,270</td> <td>242</td> <td>650</td> <td>Utility/Reissue issue fee (inc. advance copies)</td> <td></td> </tr> <tr> <td>143</td> <td>470</td> <td>243</td> <td>250</td> <td>Design issue fee (inc. advance copies)</td> <td></td> </tr> <tr> <td>122</td> <td>130</td> <td>122</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>50</td> <td>123</td> <td>50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126</td> <td>240</td> <td>126</td> <td>240</td> <td>Submission of Information Disclosure Statement</td> <td></td> </tr> <tr> <td>581</td> <td>40</td> <td>581</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td>40</td> </tr> </tbody> </table>		Large Entity		Small Entity		Fee Description	Fee Paid	Fee	Fee	Fee	Fee	Code	(\$)	Code	(\$)			105	130	205	65	Surcharge - Late filing fee or oath		127	50	227	25	Surcharge - Late provisional Filing Fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For Filing a Request for Reexamination		115	110	215	55	Extension for reply within first month		116	390	216	195	Extension for reply within second month		117	890	217	445	Extension for reply within third month		118	1,390	218	695	Extension for reply within fourth month		128	1,890	280	945	Extension for reply within fifth month		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		148	110	248	55	Terminal Disclaimer Fee		140	110	240	55	Petition to Revive - unavoidable		141	1,240	241	620	Petition to Revive - unintentional		142	1,270	242	650	Utility/Reissue issue fee (inc. advance copies)		143	470	243	250	Design issue fee (inc. advance copies)		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Statement		581	40	581	40	Recording each patent assignment per property (times number of properties)	40
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																																						
Fee	Fee	Fee	Fee																																																																																																																																								
Code	(\$)	Code	(\$)																																																																																																																																								
105	130	205	65	Surcharge - Late filing fee or oath																																																																																																																																							
127	50	227	25	Surcharge - Late provisional Filing Fee or cover sheet																																																																																																																																							
139	130	139	130	Non-English specification																																																																																																																																							
147	2,520	147	2,520	For Filing a Request for Reexamination																																																																																																																																							
115	110	215	55	Extension for reply within first month																																																																																																																																							
116	390	216	195	Extension for reply within second month																																																																																																																																							
117	890	217	445	Extension for reply within third month																																																																																																																																							
118	1,390	218	695	Extension for reply within fourth month																																																																																																																																							
128	1,890	280	945	Extension for reply within fifth month																																																																																																																																							
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																							
121	270	221	135	Request for oral hearing																																																																																																																																							
148	110	248	55	Terminal Disclaimer Fee																																																																																																																																							
140	110	240	55	Petition to Revive - unavoidable																																																																																																																																							
141	1,240	241	620	Petition to Revive - unintentional																																																																																																																																							
142	1,270	242	650	Utility/Reissue issue fee (inc. advance copies)																																																																																																																																							
143	470	243	250	Design issue fee (inc. advance copies)																																																																																																																																							
122	130	122	130	Petitions to the Commissioner																																																																																																																																							
123	50	123	50	Petitions related to provisional applications																																																																																																																																							
126	240	126	240	Submission of Information Disclosure Statement																																																																																																																																							
581	40	581	40	Recording each patent assignment per property (times number of properties)	40																																																																																																																																						
FEE CALCULATION																																																																																																																																											
<b>1. BASIC FILING FEE</b>  <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> </tr> <tr> <th>Fee</th> <th>Fee</th> <th>Fee</th> <th>Fee</th> </tr> <tr> <th>Code</th> <th>(\$)</th> <th>Code</th> <th>(\$)</th> <th></th> </tr> </thead> <tbody> <tr> <td>101</td> <td>710</td> <td>201</td> <td>355</td> <td><input checked="" type="checkbox"/> Utility Filing Fee</td> </tr> <tr> <td>106</td> <td>320</td> <td>206</td> <td>160</td> <td><input type="checkbox"/> Design Filing Fee</td> </tr> <tr> <td>108</td> <td>710</td> <td>208</td> <td>355</td> <td><input type="checkbox"/> Reissue Filing Fee</td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td><input type="checkbox"/> Prov. Filing Fee</td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>Subtotal (1) \$ 710</b></td> </tr> </tbody> </table>		Large Entity		Small Entity		Fee Description	Fee	Fee	Fee	Fee	Code	(\$)	Code	(\$)		101	710	201	355	<input checked="" type="checkbox"/> Utility Filing Fee	106	320	206	160	<input type="checkbox"/> Design Filing Fee	108	710	208	355	<input type="checkbox"/> Reissue Filing Fee	114	150	214	75	<input type="checkbox"/> Prov. Filing Fee	<b>Subtotal (1) \$ 710</b>																																																																																																							
Large Entity		Small Entity		Fee Description																																																																																																																																							
Fee	Fee	Fee	Fee																																																																																																																																								
Code	(\$)	Code	(\$)																																																																																																																																								
101	710	201	355	<input checked="" type="checkbox"/> Utility Filing Fee																																																																																																																																							
106	320	206	160	<input type="checkbox"/> Design Filing Fee																																																																																																																																							
108	710	208	355	<input type="checkbox"/> Reissue Filing Fee																																																																																																																																							
114	150	214	75	<input type="checkbox"/> Prov. Filing Fee																																																																																																																																							
<b>Subtotal (1) \$ 710</b>																																																																																																																																											
<b>2. EXTRA CLAIM FEES</b>  <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th></th> <th>Number Claims</th> <th>Prior**</th> <th>Extra</th> <th>Fee from Below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td><b>Total</b></td> <td><b>41</b></td> <td><b>20</b></td> <td><b>21</b></td> <td><b>18</b></td> <td><b>378</b></td> </tr> <tr> <td><b>Indep.</b></td> <td><b>3</b></td> <td><b>3</b></td> <td><b>0</b></td> <td><b>80</b></td> <td><b>0</b></td> </tr> </tbody> </table> <p>Multiple Dependent Claims</p> <p>** Insert 3 and 20, or number previously paid if greater; Reissue see below</p> <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Description</th> </tr> <tr> <th>Fee</th> <th>Fee</th> <th>Fee</th> <th>Fee</th> </tr> <tr> <th>Code</th> <th>(\$)</th> <th>Code</th> <th>(\$)</th> <th></th> </tr> </thead> <tbody> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> </tr> <tr> <td>102</td> <td>80</td> <td>202</td> <td>40</td> <td>Independent claims in excess of 3</td> </tr> <tr> <td>104</td> <td>270</td> <td>204</td> <td>135</td> <td>Multiple Dependent Claims</td> </tr> <tr> <td>109</td> <td>80</td> <td>209</td> <td>40</td> <td>Reissue Independent Claims over Original Patent</td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>Reissue claims in excess of 20 and over original patent</td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>Subtotal (2) \$ 378</b></td> </tr> </tbody> </table>			Number Claims	Prior**	Extra	Fee from Below	Fee Paid	<b>Total</b>	<b>41</b>	<b>20</b>	<b>21</b>	<b>18</b>	<b>378</b>	<b>Indep.</b>	<b>3</b>	<b>3</b>	<b>0</b>	<b>80</b>	<b>0</b>	Large Entity		Small Entity		Description	Fee	Fee	Fee	Fee	Code	(\$)	Code	(\$)		103	18	203	9	Claims in excess of 20	102	80	202	40	Independent claims in excess of 3	104	270	204	135	Multiple Dependent Claims	109	80	209	40	Reissue Independent Claims over Original Patent	110	18	210	9	Reissue claims in excess of 20 and over original patent	<b>Subtotal (2) \$ 378</b>																																																																																
	Number Claims	Prior**	Extra	Fee from Below	Fee Paid																																																																																																																																						
<b>Total</b>	<b>41</b>	<b>20</b>	<b>21</b>	<b>18</b>	<b>378</b>																																																																																																																																						
<b>Indep.</b>	<b>3</b>	<b>3</b>	<b>0</b>	<b>80</b>	<b>0</b>																																																																																																																																						
Large Entity		Small Entity		Description																																																																																																																																							
Fee	Fee	Fee	Fee																																																																																																																																								
Code	(\$)	Code	(\$)																																																																																																																																								
103	18	203	9	Claims in excess of 20																																																																																																																																							
102	80	202	40	Independent claims in excess of 3																																																																																																																																							
104	270	204	135	Multiple Dependent Claims																																																																																																																																							
109	80	209	40	Reissue Independent Claims over Original Patent																																																																																																																																							
110	18	210	9	Reissue claims in excess of 20 and over original patent																																																																																																																																							
<b>Subtotal (2) \$ 378</b>																																																																																																																																											
		<b>Subtotal (3) \$ 40</b>																																																																																																																																									

Signature

(Joseph R. Kelly)

Reg. No. 34,847Date 3-12-1Deposit Account No. 23-1123